

U.S. DEPARTMENT OF EDUCATION  
OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES  
WASHINGTON, D.C. 20202-2575

**FY 2003 APPLICATION KIT FOR NEW GRANTS  
UNDER  
THE NATIONAL INSTITUTE ON DISABILITY AND  
REHABILITATION RESEARCH (NIDRR)**

**RESEARCH FELLOWSHIP PROGRAM**

**CFDA NUMBER: 84.133F**



FORM APPROVED  
OMB No. 1820-0027, EXP. DATE 2/28/2003  
ED FORM 424, 11/30/2004

**DATED MATERIAL - OPEN IMMEDIATELY**

**CLOSING DATE: OCTOBER 15, 2002**

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Dear Applicant:

The Secretary invites applications for new awards for fiscal year (FY) 2003 under the Research Fellowship program (84.133F) also known as the Mary E. Switzer fellowship.

Prior to completing the grant application, please review the Federal Register Notice included in this application packet.

Only individuals are eligible for this competition.

### APPLICATION PROCEDURES

This application kit contains information and the required forms for potential applicants to apply and be considered for a FY 2003 grant award under this competition including the published Federal Register notice dated August 16, 2002. Potential applicants are advised to read the materials carefully, particularly the information on the types of applicants that are eligible to apply for these grants, how to prepare an application, the selection criteria (SECTION C) used by the reviewers to evaluate each application, the letters of support and the protection of human subjects element.

These instructions indicate that you can either submit your application electronically through the Department's e-applications or you can mail (postmarked) or hand-deliver or by carrier service one original and two copies of your application on or before the application deadline date, to the following address: U.S. Department of Education, Application Control Center, Attention: CFDA Number 84.133F, 7<sup>th</sup> & D Streets, S.W., Room 3671, Regional Office Building #3, Washington, DC 20202-4725. NIDRR would appreciate your including seven additional copies of your application to facilitate the peer review process (eight copies in all). Also, we would like to suggest that the original copy of the application be secured with a binder clip in order to facilitate any additional copying that might be required. We are encouraging you to submit your application electronically. The closing date (application deadline) is **OCTOBER 15, 2002**.

The program narrative must address the selection criteria used for this program that are included in this application packet (SECTION C). To facilitate the peer review process, you should address the criteria in the order presented. Additionally, each proposal **should** include a one page abstract. The abstract is a critical component of the proposal and it **should** highlight the purpose, target population to be served during the project period, planned goals and objectives, innovative strategies utilized, project outcomes, and dissemination. No budget is required.

There is a restriction of the number of pages with this competition. Please remember to keep the narrative to not more than 24 double spaced pages. These pages do not include the forms, abstract, letters of support or the information on human subjects protection.

## PROGRAM RULES

These grants are subject to the requirements of Education Department General Administrative Regulations (EDGAR), 34 CFR Part 74, 75, 77, 81, 82, 85, and 97, which set forth general rules affecting the submittal, review, grant award, and post-award administration for Department of Education grant programs.

## TECHNICAL ASSISTANCE

If you have any questions about the information in this application packet, please contact Donna Nangle at Donna.Nangle@ed.gov or by telephone at (202) 205-5880. Individuals who use a telecommunications device (**TDD**) may call the Federal Information Relay Service (**FIRS**) at 1-800-877-8339 between 8:00 a.m. and 8:00 p.m., EST, Monday through Friday.

**NOTE:** As the applicant, you will need this entire application packet to prepare a submittal.

Thank you for your interest in this program.

Sincerely,

Steven James Tingus, M.S., C.Phil.  
Director,  
National Institute on Disability  
and Rehabilitation Research

## SECTION B

4000-01-U

DEPARTMENT OF EDUCATION

(CFDA No.: 84.133F)

Office of Special Education and Rehabilitative Services.

National Institute on Disability and Rehabilitation Research--Research  
Fellowships Program

Notice inviting applications for new awards for fiscal year (FY) 2003.

PURPOSE OF THE PROGRAM: The purpose of the Fellowships Program is to build research capacity by providing support to highly qualified individuals, including those who are individuals with disabilities, to conduct research about the rehabilitation of individuals with disabilities. Fellows may conduct original research in any area authorized by section 204 of the Rehabilitation Act of 1973, as amended. Fellows must address problems encountered by individuals in their daily lives that are due to the presence of a disabling condition, problems associated with the provision of rehabilitation services to individuals with disabilities, and problems connected with the conduct of disability research.

The program provides two categories of fellowships: Merit Fellowships and Distinguished Fellowships.

(a) To be eligible for a Distinguished Fellowship, an individual must have seven or more years of research experience in subject areas,

methods, or techniques relevant to rehabilitation research and must have a doctorate, other terminal degree, or comparable academic qualifications.

(b) To be eligible for a Merit Fellowship, an individual must have either advanced professional training or independent study experience in an area that is directly pertinent to disability and rehabilitation.

Applicants are not required to submit a budget with their proposal. These are one Full Time Equivalent (FTE) awards. The applicant must work principally on the fellowship during the year. We define one FTE as equal to 40 hours per week. The applicant cannot receive support through any other Federal Government grants during this period.

Eligible Applicants: Only individuals who have training and experience that indicate a potential for engaging in scientific research related to the solution of rehabilitation problems of individuals with disabilities are eligible.

Note: Institutions are not eligible to be recipients of Fellowships.

DEADLINE FOR TRANSMITTAL OF APPLICATIONS: October 15, 2002.

APPLICATIONS AVAILABLE: (INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER).

MAXIMUM AWARD AMOUNT: Merit: \$45,000; Distinguished: \$55,000.

ESTIMATED NUMBER OF AWARDS: 10.

NOTE: The Department is not bound by any estimates in this notice.

PROJECT PERIOD: 12 months.

Page Limitation: The application must be limited to no more than 24 pages double spaced.

Note: The Secretary will reject without consideration or evaluation any application for a Research Fellowship that does not adhere to the 24 pages double spaced limit.

APPLICABLE REGULATIONS: The Education Department General Administrative Regulations (EDGAR), 34 CFR parts 74, 75, 77, 81, 82, 85, 86, and 97; and 34 CFR part 356, Disability and Rehabilitation Research Fellowships.

Note: Applicants need to put their Social Security Number in Block #2 on the 424 form in place of the DUNS Number.

SUPPLEMENTARY INFORMATION:

This priority reflects issues discussed in the New Freedom Initiative (NFI) and NIDRR's Long-Range Plan (the Plan). The NFI can be accessed on the Internet at:

<http://www.whitehouse.gov/news/freedominitiative/freedominitiative.html>

The Plan can be accessed on the Internet at:

<http://www.ed.gov/offices/OSERS/NIDRR/Products>

SELECTION CRITERIA: In evaluating an application for a new grant under this competition, we use selection criteria chosen from the selection criteria in 34 CFR 356. The selection criteria to be used for this competition will be provided in the application package for this competition.

## APPLICATION PROCEDURES:

Note: Some of the procedures in these instructions for transmitting applications differ from those in the Education Department General Administrative Regulations (EDGAR) (34 CFR 75.102). Under the Administrative Procedure Act (5 U.S.C. 553) the Department generally offers interested parties the opportunity to comment on proposed regulations. However, these amendments make procedural changes only and do not establish new substantive policy. Therefore, under 5 U.S.C. 553(b)(A), the Secretary has determined that proposed rulemaking is not required.

Instructions for transmitting applications will be provided in the application package.

### Pilot Project for Electronic Submission of Applications

In FY 2003, the U.S. Department of Education is continuing to expand its pilot project of electronic submission of applications to include additional formula grant programs and additional discretionary grant competitions. The Research Fellowships Program - CFDA 84.133F is one of the programs included in the pilot project. If you are an applicant under the Research Fellowships Program, you may submit your application to us in either electronic or paper format.

The pilot project involves the use of the Electronic Grant Application System (e-APPLICATION, formerly e-GAPS) portion of the Grant



Administration and Payment System (GAPS). We request your participation in this pilot project. We shall continue to evaluate its success and solicit suggestions for improvement.

If you participate in this e-APPLICATION pilot, please note the following:

- Your participation is voluntary.
- You will not receive any additional point value or penalty because you submit a grant application in electronic or paper format.
- Do not wait until the deadline date for the transmittal of applications to submit your application electronically. If you wait until the deadline date to submit your application electronically and you are unable to access the e-Application system, you must contact the Help Desk by 4:30 p.m. Washington DC time on the deadline date.
- Keep in mind that e-Application is not operational 24 hours a day every day of the week. Click on Hours of Web Site Operation for specific hours of access during the week.
- You will have access to the e-Application Help Desk for technical support: 1-888-336-8930 (TTY: 1-866-697-2696, local 202-401-8363). The Help Desk hours of operation are limited to: 8 a.m.-6 p.m. Washington DC time Monday-Friday.

- If you submit your application electronically by the transmittal date but also wish to submit a paper copy of your application, then you must mail the paper copy of the application on or before the deadline date to:

U.S. Department of Education

Application Control Center  
Attention: CFDA # 84.133F  
7<sup>th</sup> and D Streets, SW.  
Room 3671  
Regional Office Building 3  
Washington, DC 20202-4725

- You can submit all documents electronically, including the Application for Federal Assistance (ED 424 Standard Face Sheet), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

- Within three working days of submitting your electronic application, fax a signed copy of the Application for Federal Assistance (ED 424 Standard Face Sheet) to the Application Control Center after following these steps:

1. Print ED 424 from the e-APPLICATION system.
2. Make sure that you sign the form as the institution's Authorizing Representative.
3. Before faxing this form, submit your electronic application via the e-APPLICATION system. You will receive an automatic

acknowledgement, which will include a PR/Award number (an identifying number unique to your application).

4. Place the PR/Award number in the upper right hand corner of ED 424.

5. Fax ED 424 to the Application Control Center at (202) 260-1349.

- We may request that you give us original signatures on all other forms at a later date.

You may access the electronic grant application for the Research Fellowships Program at:

<http://e-grants.ed.gov>

We have included additional information about the e-APPLICATION pilot project (see Parity Guidelines between Paper and Electronic Applications) in the application package.

FOR APPLICATIONS CONTACT: Education Publications Center (ED Pubs), P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), you may call (toll free): 1-877-576-7734.

You may also contact ED Pubs via its Web site: <http://www.ed.gov/pubs/edpubs.html> or its E-mail address ([edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov)). If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA number 84.133F.

Individuals with disabilities may obtain a copy of the application package in an alternative format by contacting the Grants and Contracts

Services Team, U.S. Department of Education, 400 Maryland Avenue, SW., room 3317, Switzer Building, Washington, DC 20202-2550. Telephone: (202)

205-8207. If you use a telecommunications device for the deaf (TDD), you may call the Federal Information Relay Services (FIRS) at 1-800-877-8339. However, the Department is not able to reproduce in an alternative format the standard forms included in the application package.

FOR FURTHER INFORMATION CONTACT: Donna Nangle, U.S. Department of Education, 400 Maryland Avenue, SW., room 3412, Switzer Building, Washington, DC 20202-2645. Telephone: (202) 205-5880 or via Internet:

Donna.Nangle@ed.gov

If you use a telecommunications device for the deaf (TDD), you may call the TDD number at (202) 205-4475.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the contact person listed under FOR FURTHER INFORMATION CONTACT.

#### Electronic Access to This Document

You may review this document, as well as all other Department of Education documents published in the Federal Register, in text or Adobe

Portable Document Format (PDF) on the Internet at the following site:

[www.ed.gov/legislation/FedRegister](http://www.ed.gov/legislation/FedRegister)

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

<http://www.access.gpo.gov/nara/index.html>

PROGRAM AUTHORITY: 29 U.S.C. 762(e).

Dated: 8/16/2002

Signed  
\_\_\_\_\_  
Loretta Petty Chittum,  
Acting Assistant Secretary  
for Special Education and  
Rehabilitative Services.

## **SECTION C**

### **SELECTION CRITERIA:**

The Secretary uses the following criteria to evaluate a Fellowship application.

Selection Criteria: The Secretary evaluates applications for Fellowships according to the following criteria in 34 CFR 356.30.

(a) Quality and level of formal education, previous work experience, and recommendations of present or former supervisors or colleagues that include an indication of the applicant's ability to work creatively in scientific research; and

(b) The quality of a research proposal of no more than 24 double spaced pages containing the following information:

(1) The importance of the problem to be investigated to the purpose of the Act and the mission of the National Institute on Disability and Rehabilitation Research (NIDRR).

(2) The research hypotheses or related objectives and the methodology and design to be followed.

(3) Assurance of the availability of any necessary data resources, equipment, or institutional support, including technical consultation and support where appropriate, required to carry out the proposed activity.

The application should include an abstract, a project narrative, vitae of the applicant, and letters of support or recommendation. Any letters of recommendation received separately from the application will not be forwarded to the reviewers. If the applicant proposes to use unique tests or other measurement instruments that are not widely known in the field, it would be helpful to include the instrument in the application. Many applications contain voluminous appendices that are not helpful and in many cases cannot even be mailed to the reviewers. It is generally not helpful to include such things as brochures, general capability statements of collaborating organizations, maps, copies of publications, or descriptions of other projects completed by the applicant.

## **SECTION D**

Applicants answering "Yes" to item 12 on form ED 424 whose research activities are nonexempt must complete the seven point narrative on protection of human subjects described in the Attachment to form ED 424. If your project does include research activities that are subject to ED's Protection of Human Subjects Regulations, ED cannot make the award until the human subjects requirements for your grant have been met. Helene Deramond, ED Human Subjects Protection Coordinator for "human subjects" clearance can tell you about the requirements and she is available to help you through the process. She can be reached on (202) 260-5353 or at Helene.Deramond@ed.gov Additional information can be found at <http://ocfo.ed.gov/humansub.htm>



## **SECTION E**

### **FREQUENT QUESTIONS**

#### **1. CAN I GET AN EXTENSION OF THE DUE DATE?**

No. On rare occasions the Department of Education may extend a closing date for all applicants. If that occurs, a notice of the revised due date is published in the Federal Register. However, there are no extensions or exceptions to the due date made for individual applicants.

#### **2. WHAT SHOULD BE INCLUDED IN THE APPLICATION?**

The application should include a project narrative, vitae, and letters of support, as well as the Assurances forms included in this package. Vitae should include information that is specifically pertinent to this proposed project and research experience. If the applicant proposes to use unique tests or other measurement instruments that are not widely known in the field, it would be helpful to include the instrument in the application. Many applications contain voluminous appendices that are not helpful and in many cases cannot even be mailed to the reviewers. It is generally not helpful to include such things as brochures, general capability statements of collaborating organizations, maps, copies of publications, or descriptions of other projects completed by the applicant.

#### **3. WHAT FORMAT SHOULD BE USED FOR THE APPLICATION?**

NIDRR generally advises applicants that they may organize the application to follow the selection criteria that will be used. The specific review criteria vary according to the specific program, and are contained in this Consolidated Application Package.

#### **4. CAN INDIVIDUALS APPLY FOR GRANTS?**

Yes. Individuals are the only entities eligible to apply for the Research Fellowships (84.133F).

#### **5. CAN NIDRR STAFF ADVISE ME WHETHER MY PROJECT IS OF INTEREST TO NIDRR OR LIKELY TO BE FUNDED?**

No. NIDRR staff can advise you of the requirements of the program in which you propose to submit your application. However, staff cannot advise you of whether your subject area or proposed approach is likely to receive approval.

#### **6. HOW SOON AFTER SUBMITTING MY APPLICATION CAN I FIND OUT IF IT WILL BE FUNDED?**

The time from closing date to grant award date varies from program to program. Generally speaking, NIDRR endeavors to have awards made within five to six months of the closing date. Unsuccessful applicants generally will be notified within that time frame as well. For the purpose of estimating a project start date, the applicant should estimate approximately six months from the closing date, but no later than the following September 30.

7. CAN I CALL NIDRR TO FIND OUT IF MY APPLICATION IS BEING FUNDED?

No. When NIDRR is able to release information on the status of grant applications, it will notify applicants by letter. The results of the peer review cannot be released except through this formal notification.

8. WILL ALL APPROVED APPLICATIONS BE FUNDED?

No. It often happens that the peer review panels approve for funding more applications than NIDRR can fund within available resources. Applicants who are approved but not funded are encouraged to consider submitting similar applications in future competitions.

**POINTS TO REMEMBER IN APPLICATION PREPARATION**

1. In block #2 on the 424 form, please place your Social Security Number instead of a DUNS number.
2. In the title block of #4 on the 424 form, please note the CFDA number, 84.133F on the form.
3. The applicant is the Legal Name, Project Director, Certifying Officer or Authorized Representative.
4. Please note that the specific selection criteria are listed in SECTION D of this package.
5. Number all pages to make it easier for the reader to refer to a page number if comments are given (including the appendices).
6. Organize your narrative in accordance with the selection criterion in SECTION C of this package. Address all criteria.
7. Your research hypotheses and methodologies should be clearly stated and descriptive.
8. There is a strict page limit. Keep the narrative to 24 pages, double-spaced. The one-page abstract may be single-spaced. The page limit does not include the forms, abstract, resume, bibliography, letters of support and any information on the Protection of Human Subjects.
9. Application must be postmarked by the closing date of **OCTOBER 15, 2002**. If sending by courier service (i.e., Fed X, UPS, Postal Express), please hand deliver between 8:00 a.m. and 4:30 p.m., to the following address: U.S. Department of Education, Application Control Center, Room 3671, General Services Administration National Capital Region, 7<sup>th</sup> and D Streets, S.W., Washington, DC 20202-4725. If a phone number is required for the express mail, please use 202-708-9493 for ACC.
10. Remember to include a narrative on the protection of Human Subjects as it pertains to your grant if you check "yes" on block number 12 of the 424 form. If you check "no" please include a paragraph of why it is not required.
11. We cannot provide tax advice and since there are no specific budget items, the fellow can divide up the funds as they need to in order to do the job.

## **SECTION F**

### **Application Transmittal Instructions for Mail or Hand Delivery**

**The application must be postmarked or hand delivered by the closing (deadline) date of **October 15, 2002.****

**(A) If You Send Your Application by Mail:**

You must mail the original and two copies of the application on or before the deadline date to:

U.S. Department of Education  
Application Control Center  
Attention: CFDA #133F  
Washington, DC 20202-4725

You must show one of the following as proof of mailing:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary.

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

**(B) If You Deliver Your Application by Hand:**

You or your courier must hand deliver the original and two copies of the application by 4:30 p.m.

(Washington, DC time) on or before the deadline date to:

U.S. Department of Education  
Application Control Center  
Attention: CFDA #133F  
Regional Office Building 3  
7<sup>th</sup> and D Streets, SW., Room 3671  
Washington, DC 20202

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, DC time), except Saturdays, Sundays, and Federal holidays. The Center accepts application deliveries through the D Street entrance only. A person delivering an application must show identification to enter the building.

## **SECTION G**

### **INSTRUCTIONS FOR APPLICATION**

#### INSTRUCTIONS FOR APPLICATION NARRATIVE

See Section B, Federal Register Notice for e-application instructions.

#### Required Page Limits:

The Secretary requires that applicants limit Part II - Application Narrative to no more than 24 double-spaced 8.5 x 11" pages (on one side only) with one inch margins (top, bottom, and sides). The Secretary will reject without consideration or evaluation any application for a Research Fellowship that does not adhere to the 24 page double space limit.

#### Recommended:

- (1) Include a one-page abstract in their application; and
- (2) Use no smaller than a 12-point font, and an average character density no greater than 14 characters per inch.

The recommended application narrative page limit does not apply to: the forms – Application for Federal Education Assistance (ED 424), Assurances – Non-Construction Programs (SF 424B and the Certifications (ED 80-0013); the one-page abstract; resume(s); bibliography, or letters of support or the information on the Protection of Human Subjects.

The recommendations for double-spacing and font do not apply within charts, tables, figures, and graphs, but the information presented in those formats should be easily readable.

The budget form and justification are not required by this program.

## **APPLICATION FORMS**

The enclosed forms shall be used by all applicants for Federal Assistance under all NIDRR programs. A separate application must be submitted for each grant sought. No grant may be awarded unless the completed application forms have been received. If an item does not appear to be relevant to the assistance requested, write "NA" for not applicable.

This application consists of four parts. These parts are organized in the same manner that the submitted application should be organized. These parts are as follows:

Part I - Federal Assistance Application Face Page

Part II - Application Narrative

Part III - Assurances, Certifications and Disclosures

Part IV – Letters of Support

Each submitted application should include an index or table of contents and a one-page project abstract. Pages should be consecutively numbered.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1820-0027. The time required to complete this information collection is estimated to average 40 hours per response, including the time to review instructions, search existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

Under terms of the Paperwork Reduction Act of 1980, as amended, and the regulations implementing that Act, the Department of Education invites comment on the public reporting burden in this collection of information. You may send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and to the Office of Management and Budget, Paperwork Reduction Project 1820-0027, Washington, D.C. 20503.

**PART I - FEDERAL ASSISTANCE FACE PAGE (424)**

# Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved  
OMB No. 1875-0106  
Exp. 11/30/2004

## Applicant Information

### 1. Name and Address

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number |\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|

3. Applicant's T-I-N |\_\_\_\_|\_\_\_\_| - |\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|

4. Catalog of Federal Domestic Assistance #: **84.** |\_\_\_\_|\_\_\_\_|\_\_\_\_|\_\_\_\_|

Title: \_\_\_\_\_

5. Project Director: \_\_\_\_\_

Address: \_\_\_\_\_

City State Zip code + 4

Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

Organizational Unit

6. Novice Applicant \_\_\_\_ Yes \_\_\_\_ No

7. Is the applicant delinquent on any Federal debt? \_\_\_\_ Yes \_\_\_\_ No  
(If "Yes," attach an explanation.)

8. Type of Applicant (Enter appropriate letter in the box.) |\_\_\_\_|

A - State F - Independent School District  
B - Local G - Public College or University  
C - Special District H - Private, Non-profit College or University  
D - Indian Tribe I - Non-profit Organization  
E - Individual J - Private, Profit-Making Organization

K - Other (Specify): \_\_\_\_\_

## Application Information

### 9. Type of Submission:

*-PreApplication* *-Application*  
\_\_\_\_ Construction \_\_\_\_ Construction  
\_\_\_\_ Non-Construction \_\_\_\_ Non-Construction

### 10. Is application subject to review by Executive Order 12372 process?

\_\_\_\_ Yes (Date made available to the Executive Order 12372  
process for review): \_\_\_\_/\_\_\_\_/\_\_\_\_

\_\_\_\_ No (If "No," check appropriate box below.)  
\_\_\_\_ Program is not covered by E.O. 12372.  
\_\_\_\_ Program has not been selected by State for review.

11. Proposed Project Dates: \_\_\_\_/\_\_\_\_/\_\_\_\_

Start Date:

End Date:

### 12. Are any research activities involving human subjects planned at any time during the proposed project period?

\_\_\_\_ Yes (Go to 12a.) \_\_\_\_ No (Go to item 13.)

### 12a. Are all the research activities proposed designated to be exempt from the regulations?

\_\_\_\_ Yes (Provide Exemption(s) #): \_\_\_\_\_

\_\_\_\_ No (Provide Assurance #): \_\_\_\_\_

### 13. Descriptive Title of Applicant's Project:

## Estimated Funding

14a. Federal \$ \_\_\_\_\_ . 00  
b. Applicant \$ \_\_\_\_\_ . 00  
c. State \$ \_\_\_\_\_ . 00  
d. Local \$ \_\_\_\_\_ . 00  
e. Other \$ \_\_\_\_\_ . 00  
f. Program Income \$ \_\_\_\_\_ . 00  
g. TOTAL \$ \_\_\_\_\_ . 00

## Authorized Representative Information

15. To the best of my knowledge and belief, all data in this preapplication/application are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.)

b. Title: \_\_\_\_\_

c. Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_

d. E-Mail Address: \_\_\_\_\_

e. Signature of Authorized Representative

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

## Instructions for Form ED 424

- 1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
- 2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
- 3. Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
- 4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
- 5. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- 6. Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.  
  
Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
- 7. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
- 8. Type of Applicant.** Enter the appropriate letter in the box provided.
- 9. Type of Submission.** See "Definitions for Form ED 424" attached.
- 10. Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."
- 11. Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).
- 12. Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

**If Not Human Subjects Research.** Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.

**If Human Subjects Research.** Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")

**12a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**12a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**12a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

**13. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

**14. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount



of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.

**15. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

Paperwork Burden Statement. **According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information**

**unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.** If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: **U.S. Department of Education, Washington, D.C. 20202-4651.** If you have comments or concerns regarding the status of your individual submission of this form write directly to: **Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3671, Washington, D.C. 20202-4725**

## Definitions for Form ED 424

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

**Type of Submission.** “Construction” includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). “Construction” also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term “equipment” includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

**Executive Order 12372.** The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

**A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.**

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects'

responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked "Yes" for Item 12 on the ED 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative and insert it immediately following the ED 424 face page.

### **A. Exempt Research Narrative.**

If you marked "Yes" for item 12 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the

involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked "No" for item 12 a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://www.ed.gov/offices/OCFO/humansub.html>*

## **Pitfalls to Avoid in Responding to Item 12 of the ED 424**

*(Human Subjects Item on Application for Federal Education Assistance)*

In 1998, the U.S. Department of Education (ED) began using in all grant application packages a revised version of the Application for Federal Education Assistance (ED 424). The ED 424 contains a new item, item 12, which requests information about the protection of human research subjects in projects funded by ED. To minimize the need for ED-requested revisions to item 12 responses, we have prepared a list of pitfalls to avoid. We have also tightened up the instructions for item 12 to specify where in the application, if necessary, the applicant should insert 1) the information we need to determine if designated exemptions to the Regulations for the Protection of Human Subjects are appropriate or 2) the six-point narrative required when nonexempt research activities involving human subjects are planned.

### **The following are the most common responses that result in ED-requested revisions to item 12 of the ED 424.**

1. The applicant did not check the "Yes" or the "No" box. One of the boxes must be checked.
  2. The applicant checked "No," but the proposal suggests that research activities involving human subjects are planned. If research activities involving human subjects are planned, whether or not those activities are exempt under the ED regulations, "Yes" must be checked.
  3. The applicant checked "No" but also responded to other parts of item 12. If "No" is checked, do not respond to the remaining parts of item 12.
  4. The applicant checked "Yes" and designated one or more exemption(s) in 12a., indicating that all the research activities involving human subjects are exempt, but also provided information in 12b. or 12c.
    - a. If all the research activities are exempt, do not respond to the remaining parts of item 12, even if the applicant submits the proposal to the Institutional Review Board for review.
    - b. If some or all of the research activities are covered (nonexempt), skip 12a. and go directly to 12b.
  5. The applicant checked "Yes" and entered one or more exemption number(s) in 12a. but overlooked the requirement to provide the information we need to determine if the designated exemptions are appropriate. The narrative information about the designated exemptions should be provided in an "Item 12/Protection of Human Subjects Attachment" and be inserted immediately following the ED 424 face page. The narrative must be succinct.
  6. The applicant checked "Yes" and did not designate exemption(s), but failed to provide the six-point research activities narrative outlined in "Instructions to Applicants about the Narrative Information that Must Be Provided if Research Activities Involving Human Subjects are Planned" in Protection of Human Subjects in Research (Attachment to ED 424). The narrative is required when covered (nonexempt) research activities involving human subjects are planned. The six-point narrative should be provided in an "Item 12/Protection of Human Subjects Attachment" and be inserted immediately following the ED 424 face page. The narrative must be succinct.
- For additional information, please visit our Protection of Human Subjects web site at: <http://ocfo.ed.gov/humansub.htm>.



## **PART III - ASSURANCES, CERTIFICATIONS, DISCLOSURES**

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

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Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

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**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. ??4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. ??1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. ?794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. ?? 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) ?? 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. ?? 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. ? 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. ??1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.



9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. ??276a to 276a-7), the Copeland Act (40 U.S.C. ?276c and 18 U.S.C. ??874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. ?? 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. ??1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. ??7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. ??1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. ?470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. ??469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. ??2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. ??4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, ?Audits of States, Local Governments, and Non-Profit Organizations.?
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

## CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest.

Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

### 1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

### 3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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Check ☐ if there are workplaces on file that are not identified here.

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

#### **DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

## **SECTION G**

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### **APPLICATION CHECKLIST**

Does your application include each of the following?

- ☐ Cover page (ED 424)
- ☐ Place Social Security Number in Block #2 of ED 424
- ☐ Resume
- ☐ Letters of Support
- ☐ Program narrative, including abstract and responses to the selection criteria
- ☐ Assurances and Certifications [list]
- ☐ If submitting on e-application, did you download the correct file in the required field?

Did You --

- ☐ Provide one (1) original plus 2 copies of the application (One original and seven copies are requested)?
- ☐ Include all required forms with original signatures and dates?
- ☐ Include narrative on the Protection of Human Subjects?
- ☐ Did you click on the submit button, if submitting on e-applications?
- ☐ If submitting on e-application, did you fax your 424 form to the Application Control Center?

- |  |           |  |
|--|-----------|--|
| <input type="checkbox"/> Mail* Application To: | <b>OR</b> | <input type="checkbox"/> Hand deliver* Application To: |
| <br>   |           |  |
| ATTN: 84.133F                                  |           | ATTN: 84.133F  |
| U.S. Department of Education                   |           | U.S. Department of Education                           |
| Application Control Center                     |           | Application Control Center                             |
| 400 Maryland Avenue, SW                        |           | 7 <sup>th</sup> & D Streets, SW, ROB#3, Room 3671      |
| Washington, DC 20202-4725                      |           | Washington, DC 20202-4725                              |